

MEMORANDUM

To: File No. S7-07-18
From: Richard Gabbert, Counsel to Commissioner Hester M. Peirce
Re: Meeting with Representatives of TD Ameritrade

On May 20, 2019, Commissioner Hester Peirce and her legal advisor, Richard Gabbert, met with the following individuals representing TD Ameritrade:

- John Markle;
- JJ Kinahan;
- Ovidio Montemayor;
- Matt Billings;
- Joel Oswald; and
- David Fransiak.

Among the topics discussed were issues related to Regulation Best Interest.